



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE: Patent Application Serial No. 09/816,268  
APPLICANT: George Harry Hoffman, et al.  
TITLE: SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR  
RISK MANAGEMENT IN A SUPPLY CHAIN MANAGEMENT  
FRAMEWORK  
FILING DATE: 3/23/01  
GROUP ART UNIT: 2161

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RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF NONPROVISIONAL APPLICATION

BOX Missing Parts  
Commissioner for Patents  
Washington, DC 20231

Sir:

1. **Response.** The following Response to Notice to File Missing Parts of Nonprovisional Application is filed pursuant to 37 CFR §§ 1.53(f) and 1.85. In support thereof the Response includes the following:

2. **Fee.** Accompanying this Response is our check in the amount of \$65.00 in payment of the fee set forth in 37 CFR § 1.16. The Office is authorized to charge any additional fees for this Response to Deposit Account No. 03-0683. (Order No. 41556/04836 (RSI1P070)).

3. **Completion of Nonprovisional Application.** Pursuant to 37 CFR § 1.53(f), the attached Declaration conforming to 37 CFR § 1.63 is hereby submitted.

4. **Complete Set of Substitute Drawings Conforming to Margin Requirements.**

We have made photoreductions and other adjustments to conform with the margin requirements. No changes to the drawings were made, therefore, within the meaning of 37 CFR § 1.16. We are advised by the Office therefore, that no statement of corrections are required pursuant to 37 CFR



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§ 1.16. Accordingly, a complete set of all drawings conforming to the margin requirements, but otherwise identical to those originally filed, is provided.

5. **Conclusion.** It is respectfully submitted that the captioned application is in condition for examination and allowance.

Respectfully submitted,

Andrew C. Greenberg  
Registration No. 38,476  
CARLTON FIELDS, P.A.  
P.O. Box 3239  
Tampa, FL 33601-3239  
(813) 223-7000  
Attorney for Assignee

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to BOX Missing Parts, Commissioner for Patents, Washington, DC 20231, on the date set forth below.

Andrew C. Greenberg, Attorney of Record

August 3, 2001  
Date

cc: Debra G. Reece  
Chris S. Coutroulis



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/816,268	03/23/2001	George Henry Hoffman	41556/04724

**CONFIRMATION NO. 7310**  
**FORMALITIES LETTER**

Andrew C. Greenberg  
Calrton Fields, P.A.  
P.O. Box 3239  
Tampa, FL 33601-3239



\*OC00000006297402\*

Date Mailed: 07/16/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

***Filing Date Granted***

■ An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

**The required item(s) identified below must be timely submitted to avoid abandonment:**

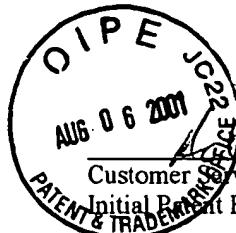
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

08/08/2001 BABRAHAI 00000090 09816268

**65.00 OP**

01 FC:205

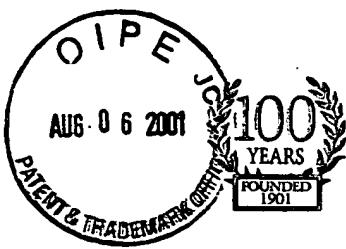


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09816262-000601



# CARLTON FIELDS

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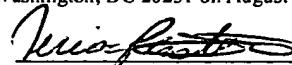
August 3, 2001

Box Missing Parts  
Commissioner for Patents  
Washington, DC 20231

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on August 3, 2001.

Signed:

  
Teresa Pastor

Re: Patent Application/Serial Number: 09/816,268  
Invention: SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT  
FOR RISK MANAGEMENT IN A SUPPLY CHAIN  
MANAGEMENT FRAMEWORK  
Inventor(s): George Harry Hoffman, et al.  
Our File No.: 41556/04724 (RSI1P070)

Dear Sir:

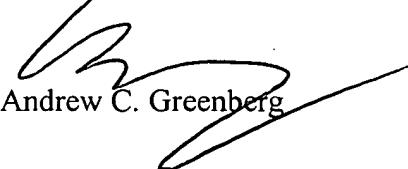
On behalf of our client, we are enclosing the following documents for filing in the above-referenced application:

1. Response to Notice to File Missing Parts of Nonprovisional Application;
2. Copy of Notice to File Missing Parts of Nonprovisional Application;
3. Declaration for patent application;
4. Complete Set of Substitute Drawings Conforming to Margin Requirements;
5. Power of Attorney; and
6. Our check in the amount of \$65.00;

The Commissioner is hereby authorized to charge any additional fees which may be required at any time during the prosecution of this application without specific authorization, or credit any overpayment to Deposit Account No. 03-0683. A duplicate of this letter is enclosed.

Also enclosed is a self-addressed postal card which we request that you return to this office indicating your receipt of the enclosed documents.

Very truly yours,

  
Andrew C. Greenberg

ACG/tlp  
Enclosures

cc: Debra G. Reece  
Chris S. Coutroulis, Esq. (w/o encl.)